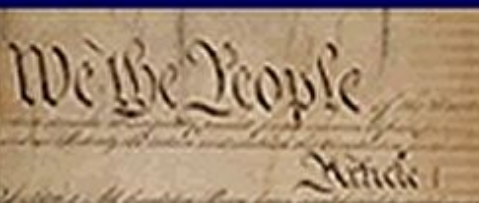


Electronic Records Archives

NARA ***Business Seminar***



Archives II, College Park
August 27, 2003

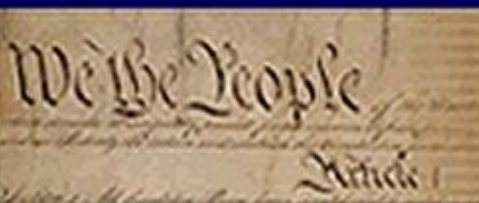


Electronic Records Archives

Goals for the Day and Agency Structure

***Marilyn Bott
NARA Staff Development
Services***





Electronic Records Archives

Overview of NARA Business

***Ken Thibodeau
ERA Program Director***





Agenda

- Why we are here
- Overview of NARA's mission
- Definition of a record
- Records Life Cycle
- NARA interface with customer organizations



Purpose of Today's Session

- Help System Integrators to understand NARA's current mission oriented business processes
- Improve system integrator ability to respond to ERA RFP
- Answer questions about NARA's business



NARA's Mission

“The National Archives ... is a public trust on which our democracy depends. It enables people to inspect for themselves the record of what government has done. It enables officials and agencies to review their actions and help citizens to hold them accountable. It ensures continuing access to essential evidence that documents:

- the rights of American citizens**
- the actions of Federal officials**
- the national experience”**



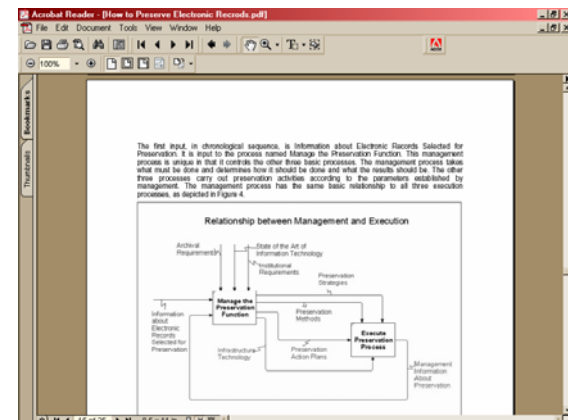
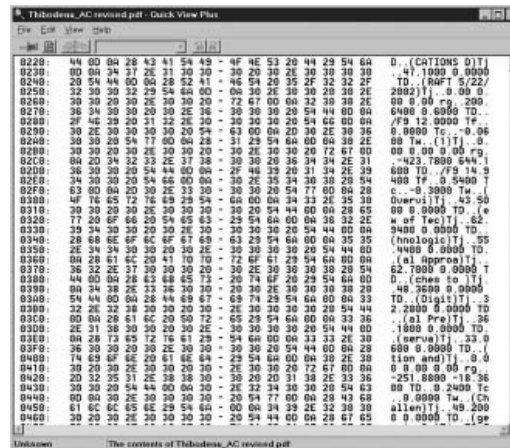
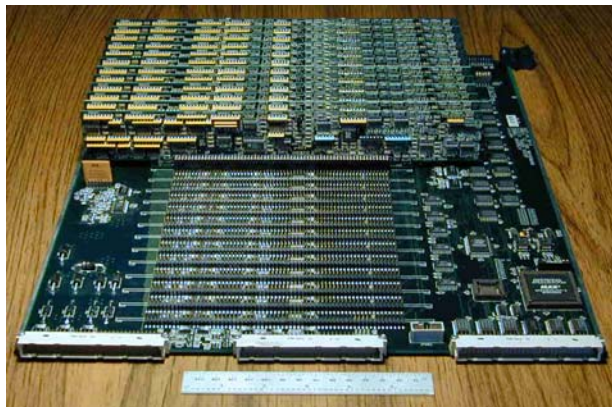
What is a Record?

- **Empirically:** an instrument or byproduct of an activity, retained because of relevance to continued activity.
- **Formally:** Recorded information made or received during the course of agency business or under law
 - **Regardless of medium**
 - **Kept because it**
 - **Provides evidence of organization, functions, policies, decisions, procedures, operations, or other activities of their creators, or**
 - **Contains valuable information**
 - **Derived from 44 U.S.C. 3301**



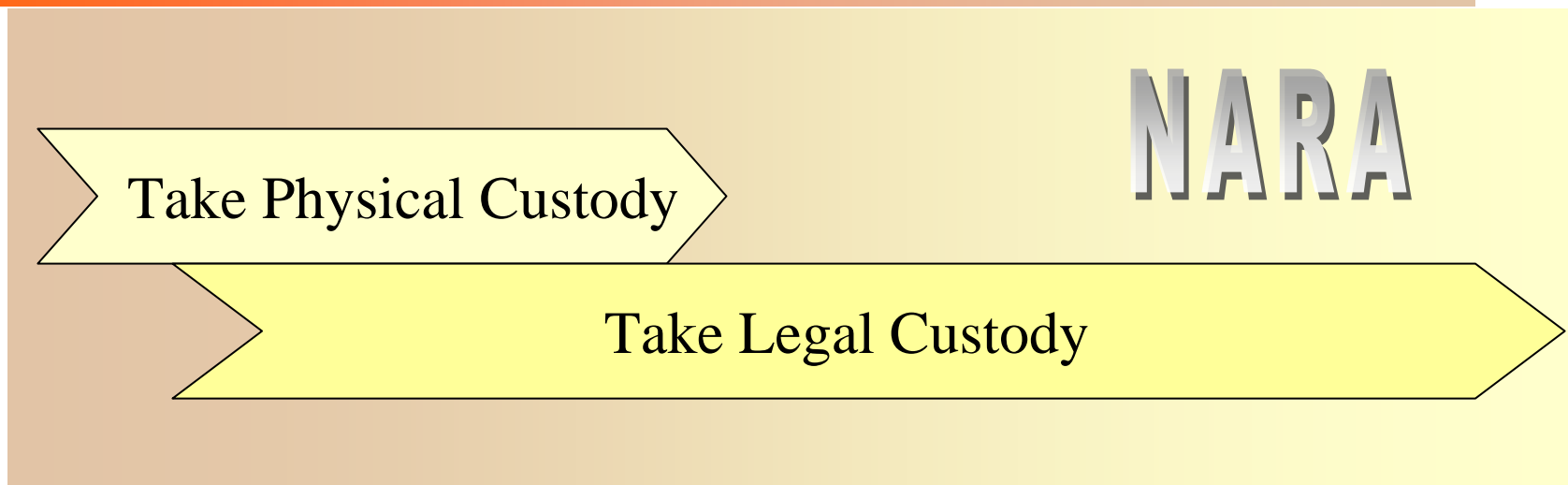
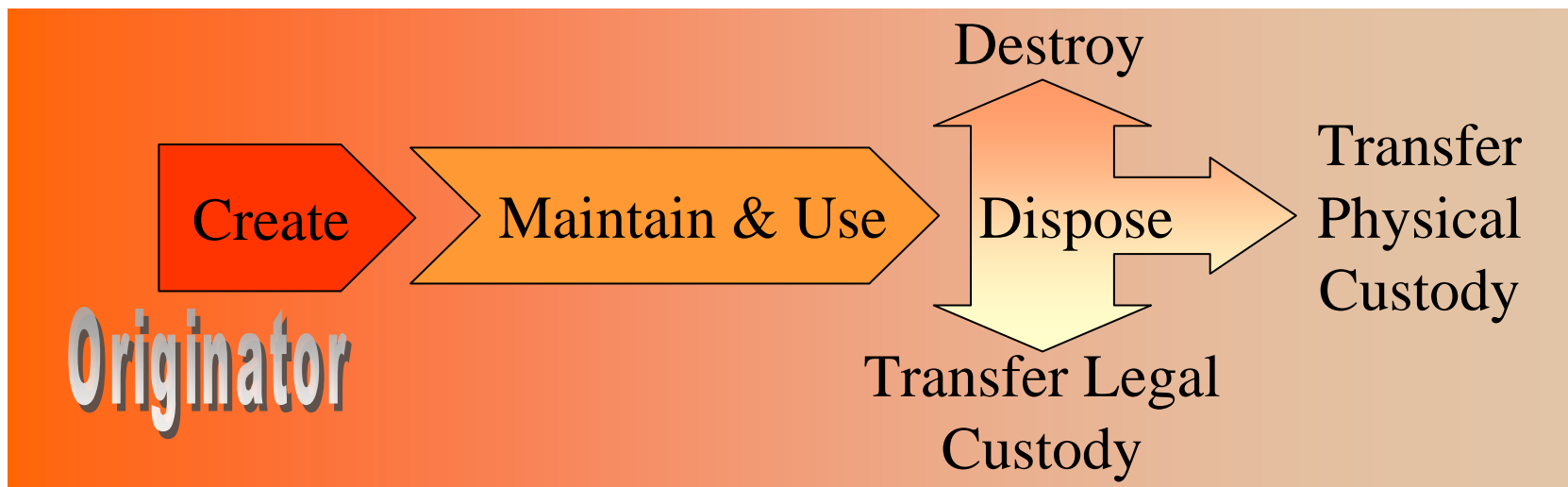
What is an Electronic Record?

A record in digital form, requiring the use of a computer





Records Lifecycle





Lifecycle Management Processes

Organize

Schedule

Appraise

Describe

Preserve

Review & Redact

Create

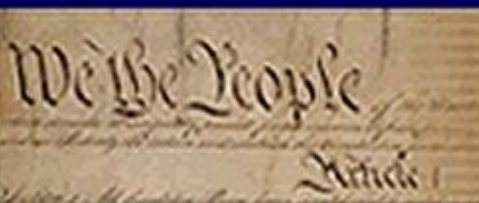
Maintain & Use

Take Physical Custody

Take Legal Custody

Transfer

Accession



Electronic Records Archives

Scheduling and Appraisal

Maggie Hawkins
NWML





- **Responsibilities of the Life Cycle Management Division**
- **Definition of a Federal record**
- **Appraisal theory**
- **Appraisal and Scheduling practice**



Life Cycle Management Division Responsibilities

- **Appraisal and Scheduling of Records**
- **Development of General Records Schedules**
- **Technical Assistance**



Life Cycle Management Division Responsibilities

- **Evaluations or inspections**
- **Training**
- **Special Projects**



Definition of a Federal Record

Federal Records Act

defines a record as *“all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of the data in them.”*



Definition of a Federal Record

- **All books, papers, maps, photographs, machine readable materials, or other documentary materials**
- **Regardless of physical form or characteristics**
- **Made or received**



Definition of a Federal Record

- **Under Federal law or in connection with the transaction of public business**
- **Preserved or appropriate for preservation**
- **Because of the informational value of the data in them**



Definition of a Federal Record

General Examples

- **Agency directives**
- **E-mail messages**
- **Databases**
- **Reports and memorandums**



Definition of a Federal Record Agency-Specific Examples

- **Data on workforce trends collected by the Department of Labor**
- **Grant Case Files from the National Endowment for the Humanities**
- **Aerial photography from the National Imagery and Mapping Agency**



Appraisal Theory Definition

Appraisal

The process of determining the value and thus the final disposition of Federal records, making them either temporary or permanent.



Appraisal Theory Temporary Records

- **Value of records varies**
- **Vast majority are temporary**
- **Many temporary covered by the General Records Schedules**
- **Other, agency unique records, may also be temporary**



Appraisal Theory *Archival Value*

Archival Value

The enduring historical or other value, as determined by the Archivist of the United States, that warrants NARA's continued preservation of records beyond the period required to transact the current business of the agency. Also known as “permanent records.”



Appraisal Theory *Archival Value*

Includes records that:

- **Document the rights of citizens**
- **Document the actions of Federal officials**
- **Document the national experience**



Appraisal Theory

Examples of Permanent Records

Examples of typical permanent records include:

- **Organization Charts**
- **Minutes of Boards and Commissions**
- **Selected Data**
- **Legal Opinions**
- **Directives**
- **Analytical Studies**
- **Publications**
- **Selected Audiovisual Records**



Appraisal Theory Factors

When appraising records, questions asked:

- **Significance of records for research?**
- **Significance of source and context of records?**
- **Is the information unique?**
- **How usable are the records?**
- **Are the records related to other permanent records?**
- ***And other questions....***



Appraisal Theory Guidelines

Theory derived from:

- **Archival literature**
- **Experience**

Theory embodied in:

- ***NARA Appraisal Policy (draft)***
- ***Appendix C, Appraisal Guidelines, Disposition of Federal Records (on NARA's website)***



Appraisal and Scheduling Practice *General Process*

- **Agency submits a Standard Form SF-115, Request for Records Disposition Authority**
- **NARA registers and tracks**
- **Site visit to review records (where necessary)**
- **Ensure any records of archival value designated**



Appraisal and Scheduling Practice General Process

- **Review temporary dispositions for adequacy**
- **Report -- circulated for internal review**
- **External comments solicited --*Federal Register* notice**
- **Comments resolved**
- **Signed by the Archivist of the United States**



Appraisal and Scheduling Practice *Department of State-Chief of Protocol Example*

Office of the Chief of Protocol Schedule

- **High profile office in a significant Department**
- **Involved site visit and included external interest**
- **Covered 29 series of records**
 - **20 temporary**
 - **9 permanent**



Appraisal and Scheduling Practice *Department of State-Chief of Protocol Example*

Sample series and dispositions

1. Official and State Functions Files:

Documents reflecting arrangements for official functions given by the Secretary of State, the Vice President....Included are U.S. Presidential inaugurals, state funerals....

DISPOSITION: PERMANENT. Transfer to the National Archives when 25 years old.



Appraisal and Scheduling Practice *Department of State-Chief of Protocol Example*

Sample series and dispositions

2. Gift Authorization Forms: Original copies authorizing the purchase of items to give as gifts by the President, Vice President, and Secretary of State.

DISPOSITION: Temporary. Destroy when 3 years old.



Appraisal and Scheduling Practice

Department of Homeland Security

Electronic Records Example

NATIONAL AUTOMATED IMMIGRATION LOOKOUT SYSTEM (NAILS)

Mission critical online interactive application that facilitates the inspection and investigation processes by providing quick and easy retrieval of biographical data or case data on individuals who may be inadmissible to the United States. The system contains the names and reference data on violators and suspected violators....

A. System inputs. Major inputs include...lookout records from the Detention and Deportation Branch....

TEMPORARY. Destroy/delete after data has been transferred to the master file.



Appraisal and Scheduling Practice Department of Homeland Security Electronic Records Example

B. System data: Types of data elements include the record number, alien file number, name of the person....

- (1) Complete system. PERMANENT. Transfer a copy of the data to NARA in blocks of 5 fiscal years when the data is 10 years old.**
- (2) Public use version. Consists of a redacted copy with personal identifiers removed. PERMANENT. Transfer a copy.....**

Schedule includes more items.....

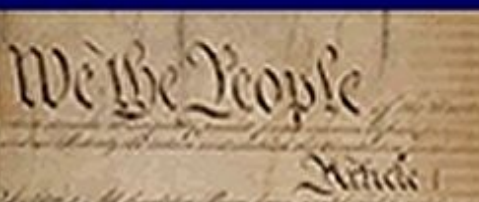


Appraisal and Scheduling Practice Upcoming Changes

Stay Tuned

**Two presentations later today
(see the agenda for times):**

- **Records Management Initiatives**
- **Business Process Reengineering (BPR)**



Electronic Records Archives

Accessioning Textual Records (Classified & Non-Classified)

***Don McIlwain
Supervisory Archivist
Initial Processing and
Declassification Division***





Mission

NARA ENSURES, FOR THE CITIZEN AND THE
PUBLIC SERVANT, FOR THE PRESIDENT
AND FOR THE CONGRESS AND THE
COURTS, READY ACCESS TO ESSENTIAL
EVIDENCE



Division Functions

- Accession and receive records that have been transferred into the National Archives
- Maintain the storage of unprocessed classified records
- Prepare series descriptions and finding aids for classified and unclassified accessioned records
- Process classified records after an agency review



Division Functions

- Perform declassification review in accordance with agency guidelines and E.O. 12958 (as amended) on records that require it
- Facilitate the referral process for archival documents with multi-agency equity
- Withdraw and store sensitive documents that still require protection
- Maintain a classified database that documents provenance for documents that are still sensitive and require protection



Archival Accessioning

- The process that transfers legal and usually physical custody of records from a Federal agency to the National Archives
- Only records scheduled as PERMANENT (about 3% of all Federal records) are accessioned
- Disposition instructions from an approved records schedule govern when records are eligible for accessioning



Archival Accessioning

- Either NARA or the creating agency may initiate the accessioning process
- NWMD accessions records from two primary sources:
 - **Records stored at the WNRC**
 - **Direct Offers from agencies**
- Last year NWMD accessioned 41530 cubic feet of textual records
- A Standard Form 258 “Agreement to Transfer Records to the National Archives of the United States” documents the accessioning process



Accessioning - Steps

- The SF 258 is completed and signed by the agency records officer and NWMD
- The records are delivered to NARA
- The records are shelved, verified, and assigned an entry number(s)
- Basic information about the records is recorded in the Master Location register
- In consultation with reference units, records may be selected for additional description



Archival Description

- Process of establishing intellectual control over the holdings of an archives.
- Archival principles of provenance and original order govern description activities
- In NWMD description usually occurs at the file series level
- A series is a group of similar records from a single source arranged in a consistent pattern
- Additional description is created as needed to enhance access to the records



Archival Description

- Series descriptions and other finding aids have been compiled in a variety of formats over time
 - Preliminary Inventories
 - NARS A-1 database
 - Various Word Processing Formats
 - The NAIL database (and associated input formats)
- NARA is now beginning to capture series descriptions in the Archival Research Catalog



Declassification

- NARA usually receives classified material from two sources:
 - The classified stacks at Washington National Records Center
 - Direct shipment from agency
- Division maintains classified material processing areas and records storage stacks



Declassification Processing

- NWMD processes those accessions that have been identified as having high researcher interest
 - In coordination with reference staff
 - priority lists are developed based on record group
- Personnel are assigned to perform the declassification processing often in conjunction with archival description



Declassification Processing

- NWMD normally processes records that have already undergone declassification review
 - Agencies have already physically identified those records
 - Some agencies have elected not to perform declassification review
 - Some agencies no longer exist and do not have successors to perform review



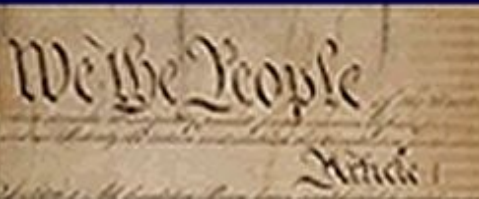
Declassification Processing

- NWMD staff quickly review records to see if obvious sensitive information has been missed
- Staff members record information about still classified documents in Archives Declassification Review and Redaction System
- Staff then withdraws sensitive documents from material that can be released
- NWMD consults with on-site other agency reviewers should questions arise about the status of a document



Declassification Processing

- Withdrawn material is placed in separate envelope and box.
- Staff creates declassification project labels and withdrawn items labels.
- Declassified records are then moved to the open stacks
- Reference Staff make records available to researchers

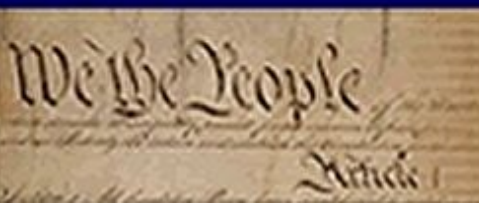


Electronic Records Archives

NARA ***Business Seminar***

Break





Electronic Records Archives

Accessioning Electronic Records

***Michael R. Carlson
Director
Electronic and Special Media
Records Services Division***





Electronic and Special Media Records Services

- Accessions permanent electronic records
- Preserves electronic records
- Provides access to electronic records



Accessions permanent electronic records

- **Transfer Standards
(36 CFR 1228.270)**
 - ➡ **9-track open reel tapes**
 - ➡ **3480 cartridges**
 - ➡ **FTP & DLT**
 - ➡ **CD-ROMS**



Accessions permanent electronic records

- **Transfer Standards
(36 CFR 1228.270)**
 - ➡ **Transfer of custody to the
National Archives**
 - ➡ **Documentation for data
files**
 - ➡ **Other finding aids
necessary to use the
records**



Accessions permanent electronic records

- **Transfer Standards
(36 CFR 1228.270)**
 - ➡ **Independent of specific hardware and software**
 - ➡ **No compressed data**
 - ➡ **ASCII or EBCDIC**
 - ➡ **Text files in ASCII or SGML**
 - ➡ **Digital spatial data according to FIPS Standard 173-1**



Accessions permanent electronic records

- **Transfer Standards (36 CFR 1228.270) supplemental guidance –**
http://www.archives.gov/records_management/initiatives/erm_products.html
- ➡ **Transfer instructions for existing email with attachments**
- ➡ **Transfer instructions for existing scanned images of permanent records**
- ➡ **Transfer instructions for permanent PDF**



Preserves electronic records

- **Initial preservation steps**

- ➡ **Master and backup copy**

- ➡ **Tapemap and dump**

- ➡ **Data verification**

- ➡ **Storage**



Preserves electronic records

- **Continuous preservation**
 - ➡ **10-year recopying activities**
 - ➡ **Periodic sampling**
 - ➡ **Environmental controls**



Provides access to electronic records

- **Finding aids and records**

- ➡ **Title list**
- ➡ **Special reference reports**
- ➡ **Technical documentation**
- ➡ **Website:**
http://www.archives.gov/research_room/media_formats/electronic_records.html
- ➡ **Data available over the internet: AAD and casualty reports**



Provides access to electronic records

- **Reference services**
 - ➡ **Datafile copy**
 - ➡ **Researcher assistance**
 - ➡ **Responses to inquiries**
 - ➡ **Record-level access to selected databases**



Current challenges

- **Enhance electronic records verification**
 - **Textual records verification**
- **Preserve diverse records formats**
 - **Digital images; PDF; Email Attachments**
- **High volume**
 - **Increase speed and capacity of systems and media**
- **Increase access options**
 - **Access to Archival Databases**



Communications

- **Let's talk**

Michael R. Carlson

THANK YOU!



Electronic Records Archives

Accessioning Electronic Records

***Bob Spangler
Information Technology
Specialist, NWME***





Agenda

- ***E-Gov ERM Initiative Overview***
- ***New Formats and Status***
- ***Technical Processing***
- ***Archival Processing***



Agenda

- ***Email with attachments***
- ***Scanned Textual Images***
- ***PDF***
- ***Future Formats***
- ***Summary***



ERM: Electronic Records Management

- **1 of 24 E-Gov Initiatives**
- **Transfer of new electronic formats to NARA**
- **Active participation of partner agencies**
- **Staged, measured approach – learn as we go**



Test Transfer Cycles

- **Email with Native attachments**
 - **Guidance to Records Officers published 09/30/02**
- **Scanned Textual Images**
 - **Guidance published 12/23/02**
- **PDF**
 - **Guidance published 03/31/03**



Test Transfer Cycles

- **Current cycle: Digital Photography**
 - **(“handheld” camera images – not satellite or other specialized image formats)**
 - **Test transfer cycle in process**
 - **Guidance expected 11/12/03**



Technical Processing

- **Ability to read and access media and files**
- **Standard preservation copying through APS**
 - **Changes with new formats:**
 - **Many files, individual files can be large**
- **Documentation (tape maps, etc)**
- **Reporting**



Archival Processing

- **Ability to access document**
- **Judgment of document legibility, viewability, functionality, etc.**
- **Quality of finding aids, indexes, etc. and correlation to documentation**
- **Note unusual or potentially troublesome characteristics**



Email Guidelines

- **In addition to traditional paper, NARA will now accept**
 - **Standard Markup Language with delimiters to identify subject, etc.**
 - **DoD 5015.2 RMA output preferred**
 - **Attachments in native formats, main message and headers should be ASCII**



Email Guidelines

- **Properly Scheduled**
- **Transfer Documentation (number of files, file sizes, etc.)**
- **Descriptive documentation, Indexes, Finding aids, etc.**

For more information:

**[http://www.archives.gov/records_management/initiatives/
email_attachments.html](http://www.archives.gov/records_management/initiatives/email_attachments.html)**



Scanned Textual Images

- **NARA will now accept**
 - **TIFF 4.0-6.0, GIF, BIIF, PNG**
- **Uncompressed preferred; if not, must use lossless method**
- **Acceptable Image Quality**
 - **Bitonal (1-bit) at 300-600 ppi**
 - **Gray scale (8-bit) at 300-400 ppi**
 - **Color (24-bit RGB) at 300-400 ppi**



Scanned Textual Images

- Properly Scheduled
- Transfer Documentation (number of files, file sizes, etc.)
- Descriptive documentation, Indexes, Finding aids, etc.
- OCR equivalents if available

For more information:

**[http://www.archives.gov/records_management/
initiatives/scanned_textual.html](http://www.archives.gov/records_management/initiatives/scanned_textual.html)**



- **Versions 1.0 through 1.4 (Adobe through 5.0)**
- **No security settings which disallow view**
- **No unembedded fonts**
- **No special features, annotations, digital signatures**



- **No external or internal links**
- **Image quality per scanned image specs**
- **OCR equivalents if available; no OCR processes which modify original document (e.g. “PDF Searchable Image Exact” vs. “PDF Normal”)**



PDF documents

- Properly Scheduled
- Transfer Documentation (number of files, file sizes, etc.)
- Descriptive documentation, Indexes, Finding aids, etc.

For more information:

http://www.archives.gov/records_management/initiatives/pdf_records.html



- **Geographic Information Systems**

November '03 – April '04

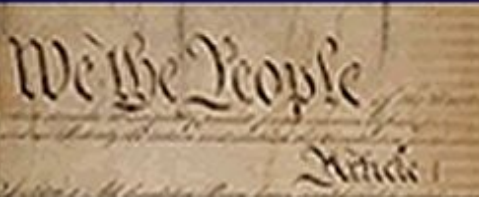
- **Web Pages**

April '04 – September '04



Summary

- **Measured approach that balances classic archival principles and 21st century technical needs**
- **Focus on integrity of records as supplied rather than long-term preservation or conversion activities**
- **Questions and Comments?**

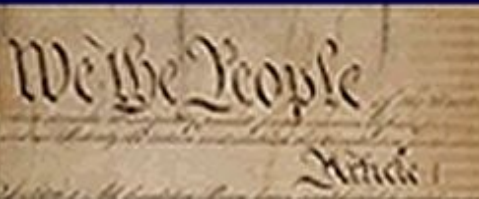


Electronic Records Archives

Electronic Records Demonstration (APS and AERIC)

***Ernest Bryant
IT Specialist
and
Greg LaMotta
IT Specialist***



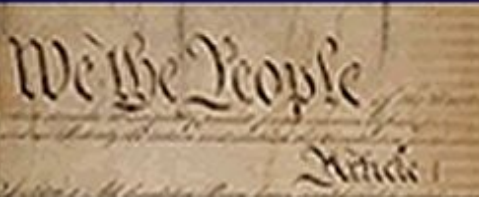


Electronic Records Archives

NARA ***Business Seminar***

Lunch





Electronic Records Archives

Office of Regional Services

David Weinberg
NR





- ***Records Center Program Overview***
 - ***Key Statistics and Accomplishments***
 - ***Fee-for-service based program***
- ***RCP and ERA***
 - ***Advantages, Goals, Levels of Service***



Records Center Program Overview



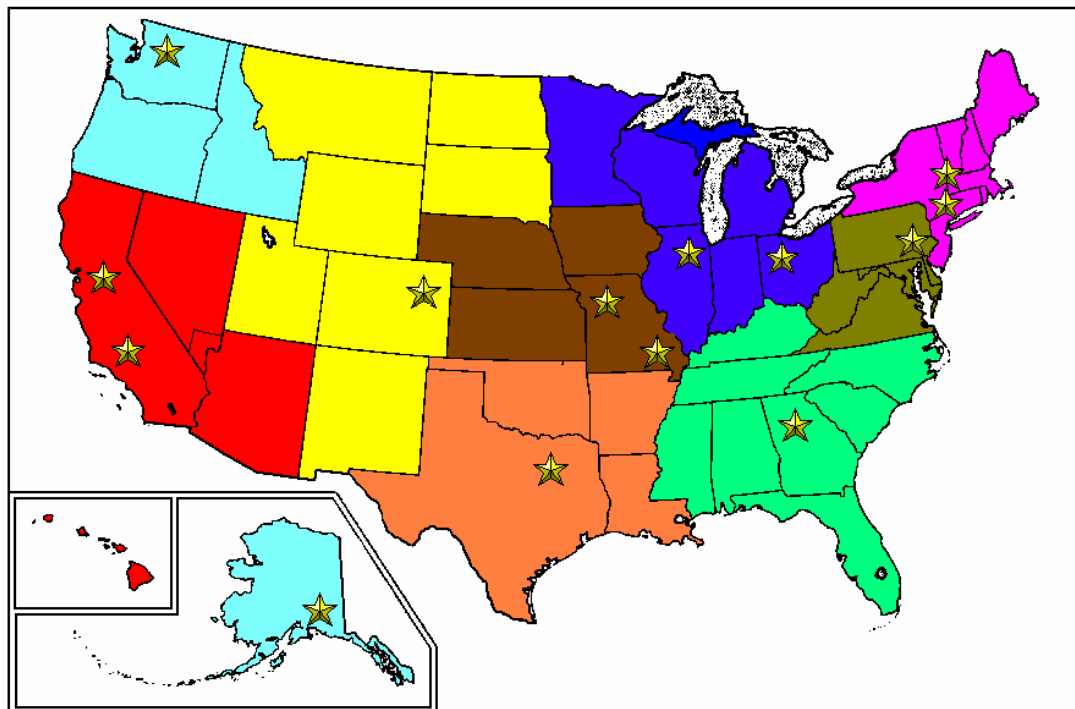
RCP Overview

Office of Regional Records Services

- **Implements NARA's programs throughout the United States**
 - **Records Center Program**
 - **Records Management Operations**
 - **Archival Operations**
- **Operates 19 facilities**
 - **16 regional facilities**
 - **3 national facilities**
- **Employs 1,100 FTE**



Regional Records Centers





RCP Overview

FY 2002 Accomplishments

- **Accessioned nearly 2 million cubic feet**
- **Disposed of nearly 1 million cubic feet**
- **Provided over 13 million reference requests**
- **Provided over 5 million photocopies**
- **Serviced over 500,000 interfiles**
- **Enhanced usability of INFORM**
- **Expanded storage capacity**
- **Initiated transactional billing**
- **Expanded service capabilities**



RCP Overview

Goal of Records Center Program

- To be the records service provider of choice for the Federal government



Revolving Fund

- **Program is 100% reimbursable**
- **Supported entirely from fees charged to Federal agencies**
- **All revenues and expenses will be paid into and from the revolving fund**
- **Revolving fund to be audited annually by independent auditing firm**



RCP Overview

Why Fee-for-service?

- **Appropriated funds did not keep up with demand for records center services**
- **Records Center holdings have grown at 2.5% annually, or 500,000 cu. ft. per year**
- **General government trend toward associating costs with the users of those services**
- **Encourage competition and provide choices to Federal agencies**



RCP Overview

Authority

Public Law 106-58: There is hereby established . . . a revolving fund . . . to provide for storage and related services for all temporary and pre-archival Federal records, which are to be stored at Federal National and Regional Records Centers by agencies and other instrumentalities of the Federal Government.



RCP Overview

Authority

Public Law 106-58: The Fund shall be credited with user charges received from other Federal Government accounts as payment for providing personnel, storage, materials, supplies, equipment, and services.



RCP Overview

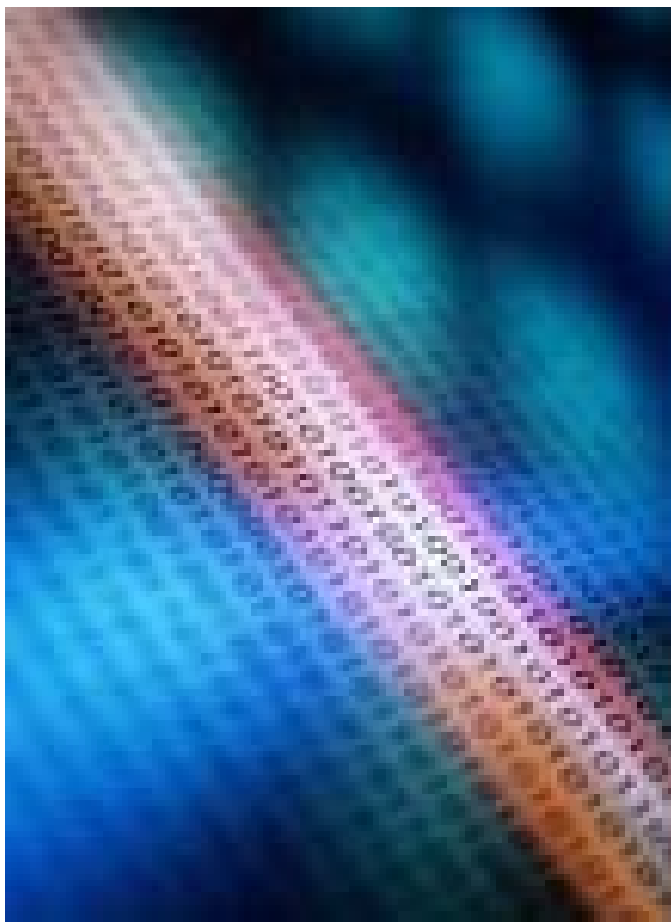
Advantages

- **Reimbursable funding allows NARA to provide better records center services to agencies**
 - **Additional space**
 - **Better quality space**
 - **Improved records services**
 - **New tools to access records services**



Competition is encouraged

- **Competition provides better services at a reduced cost**
- **Agencies have choices concerning the storage of their records**
- **NARA sets standards for the storage of Federal records (36 CFR Part 1228)**
- **NARA has implemented an inspection program to ensure the proper storage of Federal records**



The Records Center Program and ERA



Preparation for ERA Implementation

- **Vision is to support agency needs and support life cycle management of Federal records**
- **Using future ERA capacity, be open to many possibilities for services**
- **Fee-for-service is a prerequisite**



Importance to NARA and RCP

- **Electronic Records Storage and Services is part of NARA's suite of records management services**
- **Maintain capacity to serve all phases of life cycle**
- **Raise NARA's visibility as a provider of electronic records services**
- **"Post-paper" plan for RCP**



RCP and ERA

Advantages to Agencies

- **State-of-the art storage and servicing system**
- **Preserve electronic records over time, avoiding migration costs**
- **Single source of storage services for paper and electronic records**
- **Confidence in continued authenticity of stored records**
- **Confidence that records will be managed by NARA experts.**
- **Ease of access to services**
- **Permanent records will be accessioned directly within ERA**
- **Ease of access to RMA-compliant systems**
- **Access to classified storage capacity**
- **Automated application of litigation freezes and releases**



RCP and ERA

Advantages to NARA

- **Records are maintained to protect rights and accountability**
- **Permanent records are protected and more easily accessioned**
- **Knowledge of and involvement with agencies in life-cycle management of electronic records**
- **Opportunity for RCP to remain competitive and marketable**
- **Enhance NARA's leadership role in support of E-Gov and other initiatives**
- **Assistance to agencies in using standard-compliant RMAs, which in turn supports ease of records preservation**
- **Reduce risk related to estrayed e-records**
- **Provides a staging area or "triage" for permanent records**



RCP and ERA

Six RCP Electronic Records Goals:

- 1. Identify customers and their needs**
- 2. Develop incremental services at increasing levels of complexity (basic, intermediate and advanced)**
- 3. Establish fee schedules to cover or offset new services costs**
- 4. Enhance knowledge and skill sets of Record Center staff**
- 5. Be an active partner in the development of ERA**
- 6. Integrate RCP e-Records program with other NARA lifecycle management activities**



RCP and ERA

Level One--

Basic Storage of Electronic Records

- **Identify basic services to support media storage**
- **Environmentally controlled area**
- **Multi-media storage equipment**
- **Example: Storage of CD-ROMS**



Level Two--Intermediate

- **Data administration service**
– including back-up/recovery
- **Reference service**
– via Customer's e-System
- **Example: RCP to continue pilot with DoD e-OMPF this year**



Level Three--Advanced

- **On-line access, reference, servicing**
- **Metadata augmentation**
- **Functional management (via RMA technology)**
- **On-line back-up, recovery**
- **Automated accession of permanent e-records to ERA's Archival side**
- **Reference services via NARA e-repositories**
- **Internet capability for all RCP servicing**



Looking to the Future

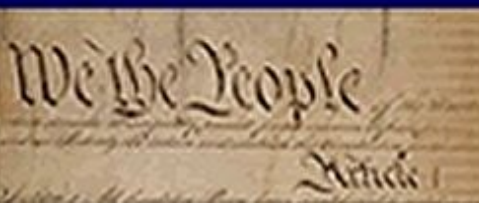
Thank You!

David W. Weinberg

Director, Records Center Program

RCP Website:

www.archives.gov/records_center_program/index.html



Electronic Records Archives

FOIA

Steven D. Tilley
Chief, Special Access/FOIA
Branch (NWCTF)





Agenda

- ***NWCTF's Mission***
- ***Types of Requests***
- ***Records in NWCTF Custody***
- ***Freedom of Information Act***
- ***NARA's Responsibilities under the FOIA***
- ***FOIA Process***
- ***System Needs***



NWCTF's Mission

To process all requests
for access to information
in NARA's Legal custody
that is not available for
public use.



Types of Requests

- Freedom of Information Act (FOIA) requests for archival records.
- Mandatory Review of requests of classified information under E.O. 12958, as amended.
- Special Screening Requests.



Records in NWCTF Custody

- Records of Special Counsels.
 - Watergate Special Prosecution Force.
 - Waco Special Counsel.



Records in NWCTF Custody

- Records of closed Independent Counsels (RG 490).
 - Iran/Contra Investigation.
 - Whitewater/Filegate/Monicagate, etc.



Records in NWCTF Custody

- Records of Temporary Boards and Commissions that contain classified or sensitive, non-classified information.
 - Warren Commission (part of the JFK Assassination Records Collection).
 - Webster Commission.



Records in NWCTF Custody

- Sensitive electronic records from various Federal agencies.
 - Executive Office of the President: 28 million Clinton Administration e-mails.
 - E-mail and databases created by various Independent Counsels.
 - Classified State Department cables.
 - Imaged documents (Pardon Attorney files).



Freedom of Information Act 5 U.S.C. 552

- **What is the FOIA?**
 - Disclosure statute.
 - Provides for access to executive branch records.
 - Excludes judicial, legislative, state, and local records.



NARA's Responsibilities under FOIA

- **Comply with statutory time limits.**
 - **“First-in, first-out”**
 - **Multi-track processing.**
 - **Expedited Processing**
- **Conduct a reasonable search for all responsive records.**
- **Release all information not otherwise exempt under FOIA, making discretionary disclosures when appropriate.**



FOIA Process Time Limits

- 20 working days from the date of receipt.
- “Unusual circumstances” : all agencies to invoke 10 additional working days.
 - Location or volume of records.
 - Need to consult with external party.
- Requestor may immediately seek appeal/and or judicial review after 20 days has expired.



FOIA Process ***“First in, first out”***

- Process FOIA requests in the order they are received.
- Courts allow agencies to do so within multiple tracks depending on type of requests.



FOIA Process

Multi-track processing

- NARA has two basic processing queues:
 - **Simple:** Routine action requests. Able to provide answer to requester within 20 working day time limits of the FOIA.
 - **Complex:** Request requires in-depth research or responsive records require extensive review. Unable to provide reply to requester within 20 working days.



FOIA Process Final Determination

- **Release In Full:**
 - **There is no sound legal basis for withholding.**
- **Withhold in Full:**
 - **The entire document contains exempt information that cannot be reasonably segregated.**
- **Release in Part:**
 - **Exempt information can be reasonably redacted and non-exempt information released.**



FOIA Process: Redaction

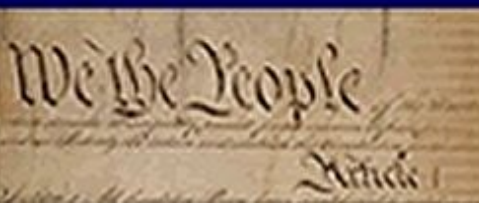
- Exempted information in individual documents blacked out.
- Redacted copy annotated with applicable FOIA Exemption.
- Redacted documents created in ADRRES or URTS systems using Highview Software from Vredenburg.



System Needs

NWCTF System Needs

- FOIA case tracking.
- Storage of both classified and sensitive but unclassified electronic records (both “born digital” and imaged documents).
- On-line redaction.
- Reports and statistics.



Electronic Records Archives

***Office of Presidential
Libraries***

***Sam McClure
Program Analyst***





The Presidential Records Act (PRA) (44 U.S.C. Chapter 22)

- **The PRA took effect January 20, 1981 (records of the Reagan administration)**
- **The PRA changed the notion of Presidential materials from donated collections to public property.**
- **Presidential Records - All historical materials that document the constitutional, statutory, or other official or ceremonial duties of the President.**
- **NARA takes custody of the records when the President leaves office.**



Special Access

- **Upon taking custody of Presidential records NARA assumes responsibility for responding to special access requests for material.**
- **These requests can come from Congress, courts of competent jurisdiction, or from the incumbent President as part of ongoing government business.**
- **NARA must be able to search and retrieve records responsive to these requests in a timely manner.**



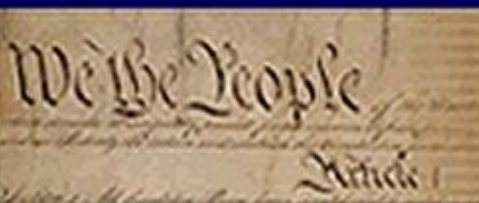
Access Review

- **The President may restrict access to specific kinds of information in the records for up to 12 years after he leaves office.**
- **The records will be subject to the Freedom of Information Act (FOIA) 5 years after the President leaves office.**
- **PRA restrictions and FOIA exemptions apply to the records during the next 7 years. After the end of the 12 year period FOIA exemptions still apply.**
- **Line-by-line, page-by-page review**
- **Notification of the former President and incumbent President prior to release of any material (began under E.O. 12667, now under guidelines established by E.O. 13233)**



Sample FOIA requests from the George Bush Library

- **Files of Chief of Staff John Sununu**
- **All material related to the diplomatic and military response by the US to the Iraqi invasion of Kuwait on 2 August 1990**
- **Material related to budget negotiations between the Bush administration and Congress, 1989-1990 (including the Bipartisan Budget Agreement, the 1990 Budget Summit, and the Omnibus Budget Reconciliation Act of 1990)**
- **Material related to Millie (the Bushes' English Springer Spaniel), including Millie's Book**



Electronic Records Archives

Reference Services for Electronic Records

***Diane Dimkoff
NWCC***





Agenda

- ***Overview***
- ***Reference***
- ***Research rooms***
- ***Statistics***
- ***Public access PC's***
- ***Reference interactions***
- ***Reference assistance***
- ***Physical access***





Overview - What is NARA?



NARA holds hundreds of millions of records.

- **Textual documents**
- **Aerial photographs**
- **Architectural and engineering drawings**
- **Charts**
- **Electronic data files**
- **Maps**
- **Microforms**
- **Motion pictures and sounds recordings**
- **Still pictures**
- **Video recordings**



NARA is Everywhere

Washington D.C. area +
Regional Archives +
Presidential Libraries =
33 Locations
around the country





The National Archives is not a Library!





Research Rooms

Archives I:

- Textual
- Microfilm

Archives II:

- Textual
- Microfilm
- Still Pictures
- Motion Pictures and Sound Recordings
- Cartographic and Architectural
- Electronic Records
- Classified Records



Washington National Records Center

- Textual



Statistics Washington DC Area

USERS

- **11,922 Researchers cards issued in 2002**
- **As of July, 2003, 9,048 cards issued**
- **76,989 Visits to Research Rooms so far this year**



Public Access PCs

24 Public Access PCs in the Washington, D.C. area

**E-mail
On-line Searching
NARA Web site
ARC**



Reference Interactions

How requests reach us:

- **Telephone**
- **Letters and Faxes**
- **E-mails (*Inquire@NARA.GOV*)**
- **On-site Researchers**
- **NARA Web Site**
- **Publications**

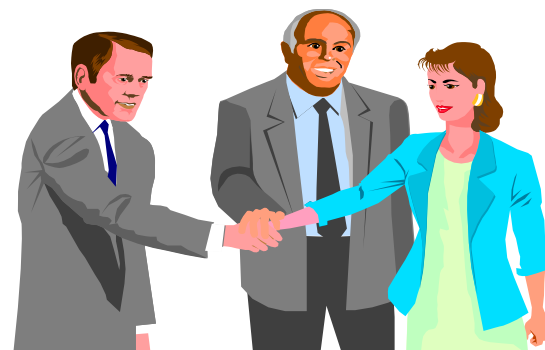




Initial Interview

MAY I HELP YOU?

1. Researchers are highly encouraged to do homework.
2. Archivist must listen for the unasked questions.
3. “Don’t tell me what records you want, tell me what information you need.”
4. We approach research as a partnership.





TOOLS

Guide to Federal Records in the National Archives of the United States

- Archival Research Catalog (ARC)
- Microfilm resources for research
- NARA Web site
- Published finding aids
- Inventories
- Special lists, box lists, folder lists, accession
dossiers, Access to Archival Databases (AAD)





Physical Access Research Orientation

Requirements

- **You must at least 14 years of age to obtain a researcher card.**
- **Valid photo ID**
- **Proof of current address**



On-site Research Requirements

Clean Research Room Policy

- **No Pens**
- **No Glue**
- **No Scissors**
- **No Coats, bags, or purses**
- **We provide paper and pencils**
- **We provide lockers**
- **Please turn off cell phones and pagers when in a research room**

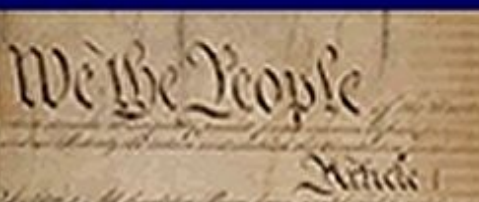


Hours of Operations

OPEN FOR BUSINESS

Research hours in both the Washington, DC, and College Park, MD buildings are Mondays and Wednesdays from 8:45 a.m. to 5:00 p.m.: Tuesdays, Thursday, and Fridays from 8:45a.m. to 9:00 p.m. and Saturdays 8:45 a.m. to 5:00 p.m.





Electronic Records Archives

Reference Services for Electronic Records

***Margaret O. Adams
Reference Program Manager
Electronic and Special Media
Records Services Division***





NARA's Custodial Program for Electronic Records

- **Computer-readable data: a new form of primary documentation in the 20th Century**
- **NARA has been preserving and providing access to electronic records for close to 35 yrs**
- **Holdings reflect diversity of the U.S. Federal Government**
 - now approx **200,000** files
 - most accessioned electronic records **to date** are data files



Traditional Access Services for NARA's Electronic Records

- **Staff respond to requests using descriptive materials, admin records, data file documentation, and experience**
 - **if NARA has electronic records of interest, researcher is encouraged to review documentation, onsite or in copies**
 - **researcher orders copy of file(s) on removable media (cost-recovery), in accord with tenets of the FOIA, and uses records with own computing hardware and software**
 - **if need is for specific records within files, staff retrieve specific records from files, if feasible, on behalf of researcher**



Use of Archival Electronic Records Data Files for Analysis

- **By academic social scientists and historians, private sector consultants, government analysts, legal professionals, media**
- **Recent example: Stellman, Jeanne *et al*, “The Extent and Patterns of Usage of Agent Orange and Other Herbicides in Vietnam,” NATURE, April 17, 2003. Gives revised estimates, based on data [from NARA’s electronic and textual records] that almost double the previous estimates for the amount of dioxin sprayed in South Vietnam.**



WHY Offer Online Access?

- Traditional services meet most needs of analysts, **but not** the needs of those who **seek specific records**
- Having staff offer **customized search and retrieval** of specific records **is labor intensive**
- Ubiquity of personal computing has led to **rising public expectation for online access to archival electronic records**



AAD: Access to Archival Databases <<http://www.archives.gov/aad>>

- February 12, 2003: **“Soft” public rollout**
- Online search and retrieval access to **50,000,000** records from **33 archival series**, in approx **350 files**
- Series selected for AAD access have releasable records; identify specific persons, places, events, transactions, etc.

e.g.: suitable for public, online, record-level search and retrieval



AAD: Access to Archival Databases **<<http://www.archives.gov/aad>>**

- AAD includes series and files descriptions; some scanned documentation that is downloadable
- Option to view online and/or print individual records with decoded meanings
- Option to download raw data records in a <csv> file
- AAD is accessible 24 / 7, at no charge



AAD: Access to Archival Databases ***<<http://www.archives.gov/aad>>***

- **“Soft” rollout phase (Feb-March, 2003)**
 - # of AAD “successful queries” **eclipsed traditional demand** beyond scalable comparison, with manageable impact on reference staff workload
 - 22 % of electronic records reference requests answered by referring researcher to AAD for own search

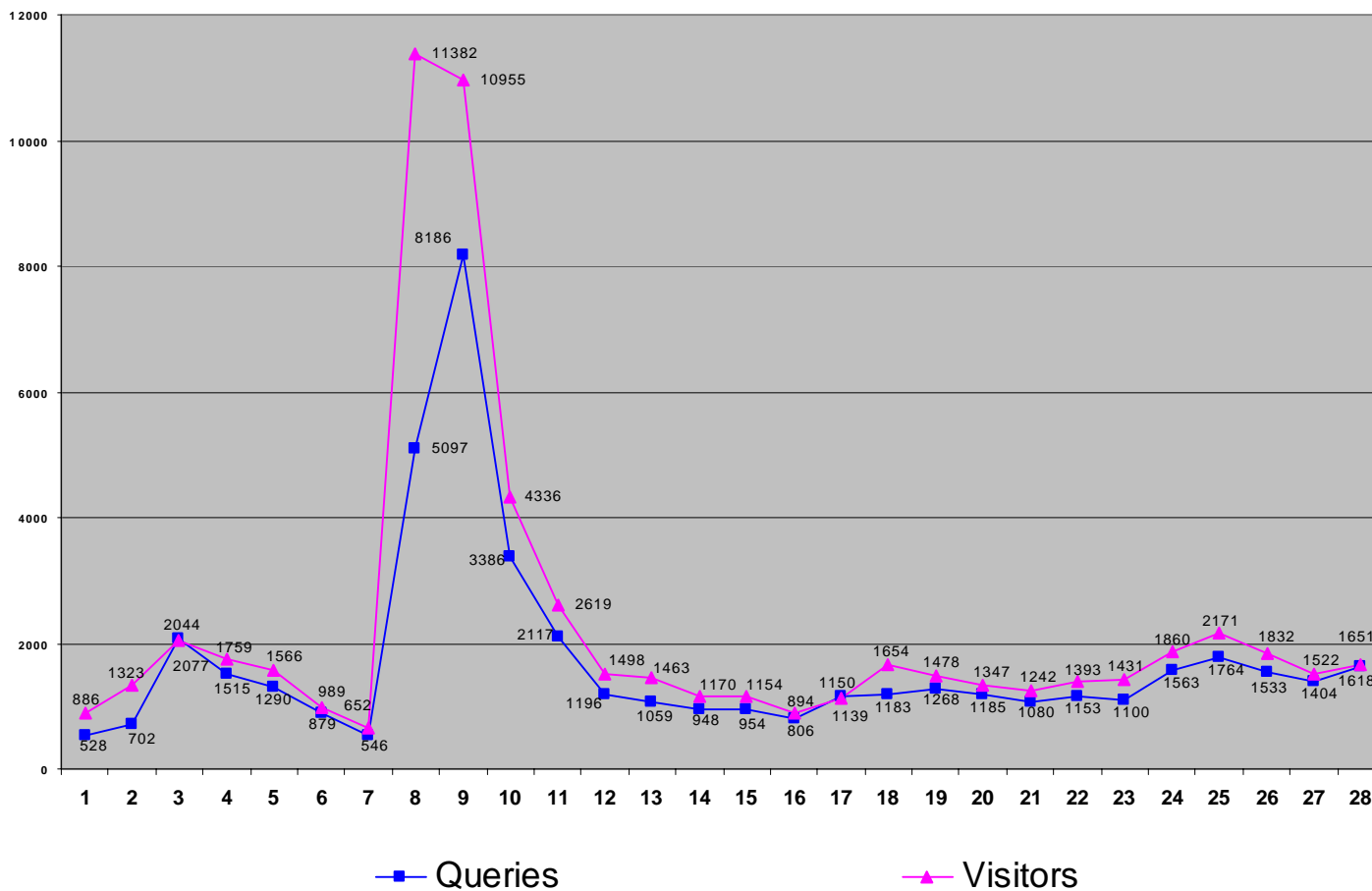


AAD: Access to Archival Databases ***<<http://www.archives.gov/aad>>***

- **April 4, 2003:** the Associated Press (AP) ran a story on AAD: de facto public rollout
- Number of AAD “visitors” and “successful queries” escalate immediately after AP story



Average Daily Queries vs Average Daily Visitors (27 weeks)



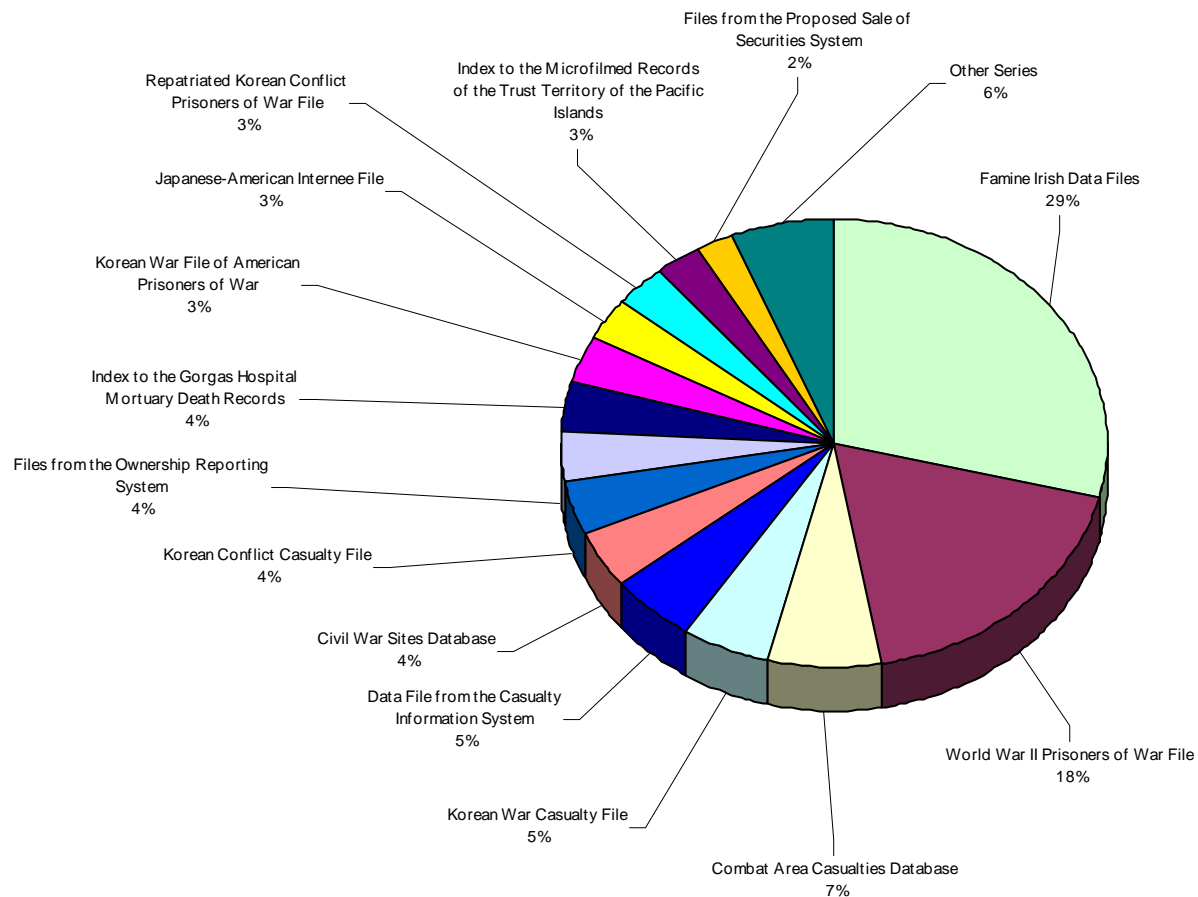


AAD Experiences: May - July, 2003

- **Greatest demand: records about people
(see handout)**
- **Daily queries + visitors: May 12- Aug 10**
 - **successful queries average 1120 per day**
 - **“virtual visitors” average 1340 per day**
- **19 % of all electronic records reference requests
[N=435]: AAD-related [less than 1% of “visitors”]**
- **29 % of all responses [N=536]: referred requestor
to AAD**



Total AAD Queries May-June-July, 2003 N= 106,247





What Have We Learned from Offering Online Access to Electronic Records?

- **Preparing electronic archival data records and their metadata for online access is labor intensive**
 - **government records supported Federal agency programs, research, regulation, information collection, etc. and generally were not created with posterity nor any external use in mind**
- **On-going effort needed to maintain resources online**



Lessons Learned - 2

- Reinforces earlier experiences
 - new online services rarely displace demand for existing services
 - new online services raise expectations for more new services
 - online access expectations reflect text-based nature of most web information
 - using electronic **data records** is an unfamiliar experience for many people



What Else Have We Learned ?

- Staff need flexibility and experience to meet new challenges and to blend in new services
- Ever-present hardware + software “upgrading” and lack of nonproprietary standards will be a continual challenge
- Online users need help with the capabilities they have on their own hardware: firewalls, browsers, etc.



Expectations for Access to NARA's Electronic Records

- **Continue answering researcher requests (by email, post, phone, in-person, etc),**
 - **refer requestors to online resources as appropriate**
- **Continue offering copies of files**
 - **on removable media, suitable for contemporary technologies, on a cost-recovery basis**
 - **as a result of “finding” records in AAD, some AAD users are ordering their own copies of the files**



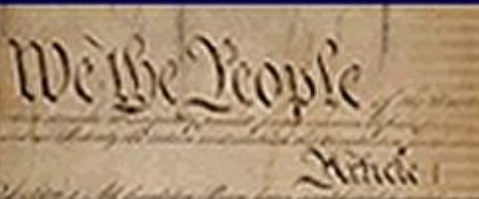
Access Expectations - 2

- **Continue to support online search and retrieval for a selection of NARA's electronic structured data records through AAD**
- **Other online access resources will be needed as NARA accessions other types of electronic records**
- **Develop infrastructure for media-less transfer of files**



For More Information

- **Contact the reference services staff,
Electronic and Special Media Services Div.**
 - **email: CER@NARA.GOV**
 - **reference telephone: 301-837-0470**
 - **www.archives.gov/research_room/center_for_electronic_records/table_of_contents.html**

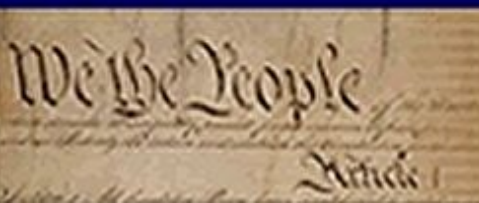


Electronic Records Archives

NARA ***Business Seminar***

Break





Electronic Records Archives

Records Management Initiatives

Susan Cummings
NWM





Records Management Initiatives Agenda

- **RMI Goals**
- **Principle**
- **Records Management
Initiatives**
- **The Old Model**
- **Current Areas of Focus**



Records Management Initiatives

GOALS

- Federal agencies economically and effectively manage records to meet **business needs**
- Records are kept long enough to **protect rights, assure accountability, and document the national experience**
- Records are destroyed **when no longer needed** and it is practical to do



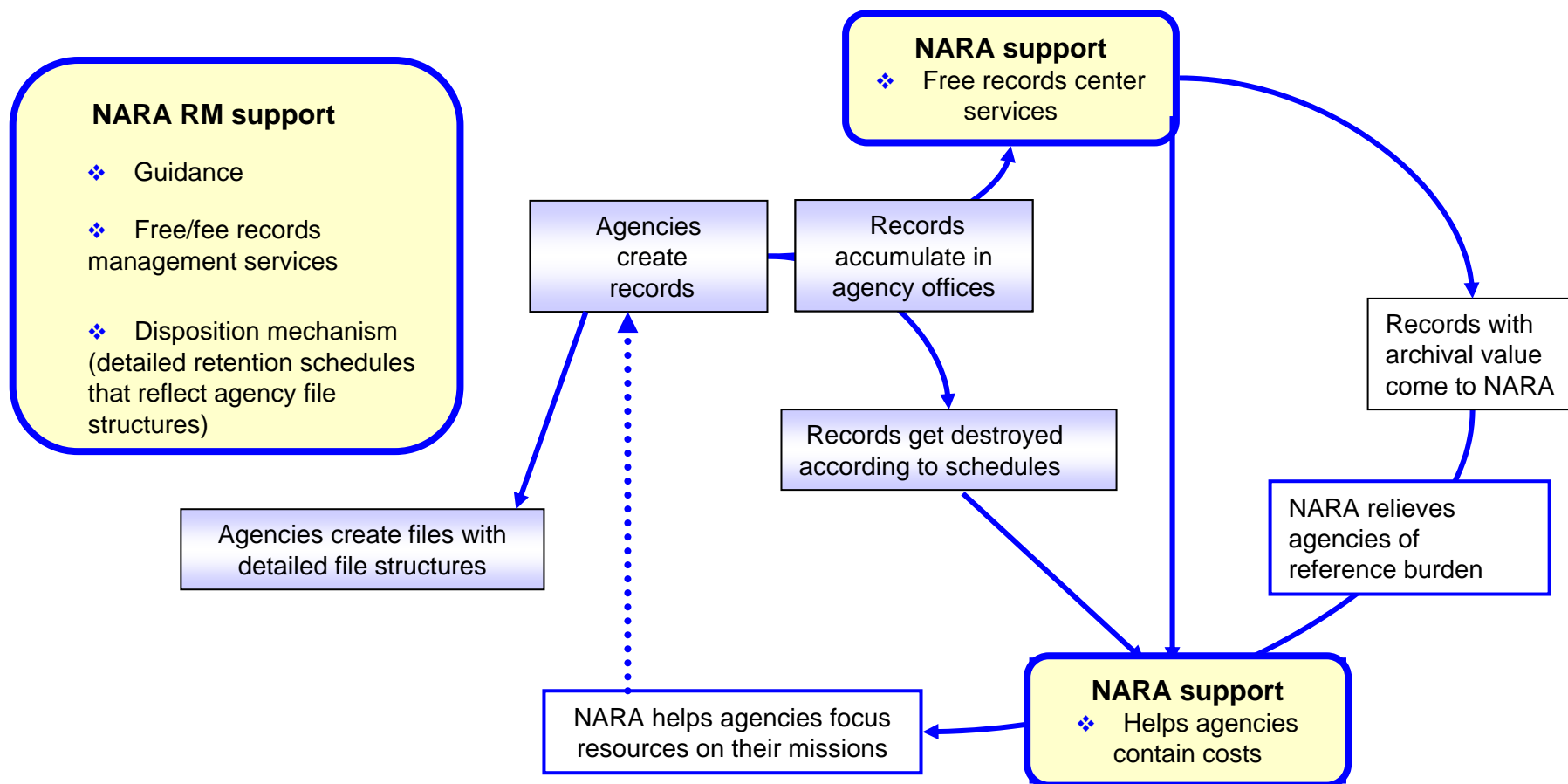
The Underlying Principle

- **Create mutually supporting relationships where**
- **NARA's RM program adds value**
- **Records are managed effectively**
- **Records of archival value are preserved and available for future generations**



Records Management Initiatives

The old model





Records Management Initiatives

Strategic Directions for Federal Records Management

- Roadmap for Redesigning Federal RM
- Issued July 2003
- 25 Tactics to achieve goals

Available at:

http://www.archives.gov/records_management/initiatives/rm_redesign_project.html



Records Management Initiatives

Areas of Interest:

- **Lifecycle BPR**
- **Flexible Scheduling and GRS**
- **Retention Standards**
- **Front-end Scheduling**
- **Records Center Program and ER Services**
- **Custody**
- **Expanded Formats for Transfers**
- **Pre-accessioning**



Records Management Initiatives

Flexible Scheduling

- **allow agencies to schedule temporary records at any level of aggregation.**
- **includes “Big Buckets”- the application of appraisal criteria to related groupings of information across one or multiple agencies to establish a uniform retention period.**

Retention Standards

- **develop standards for retention that can be used to cover broad functional areas of the Government**



Records Management Initiatives

Front-end scheduling

- **work with agencies to schedule records as early as possible, including building scheduling into the design of new records systems**

Records Center Program and ER Services

- **to the extent viable from a business perspective, the NARA Records Center Program will accept and service electronic records**



Custody/Affiliated Archives

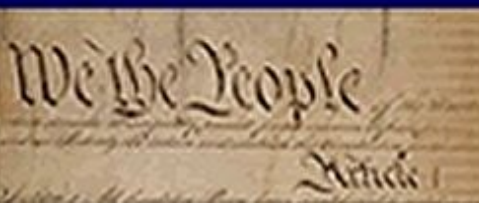
- established criteria for affiliated archives
- records will belong to NARA

Expanded Transfer Formats

- broader range of formats and data types for permanent ER

Pre-accessioning

- obtain ER before being legally accessioned



Electronic Records Archives

Records Lifecycle BPR

Kate Theimer
Lifecycle Coordination Staff





Agenda

- **BPR Mission and Scope**
- **BPR Structure**
- **Highlights of To-Be Model**
- **Coordination with ERA**
- **Questions**



BPR Mission

- **Support RMI**
- **Support ERA**
- **Promote compliance with the Government Paperwork Elimination Act (GPEA) requirements**
- **Increase efficiency and effectiveness of all records lifecycle processes**



Specific BPR Goals

- **Wherever possible decrease time and effort needed by agencies and NARA to conduct business, specifically: decrease turnaround time on the development, submission and approval of records schedules, ensuring that records schedules are approved at the time they are submitted.**
- **Enable NARA to provide access to records at the time they are accessioned.**



- **Temporary records**
- **Permanent records**
- **All media types**
- **Entire lifecycle**
- **Federal, Presidential, Supreme Court, donated personal papers and artifacts**
- **NARA, Regional Record Center and Presidential Library processes**



BPR Project

- **Kickoff January 27**
- **Subject matter expert teams**
- **Project completed August 15**



BPR Activities/Deliverables

- **As-Is IDEF 0 Model**
 - **including metrics**
- **Benchmarking**
- **To-Be IDEF 0 Model & supporting workflows**
- **Recommendations for Follow On Activities**
- **Review of ERA Requirements**



Overarching Differences in To-Be

- More flexible organization--processes tailored to respond to specific situations
- Improved quantity and quality of information collected, collected earlier, and shared more effectively
- Formalizes/accentuates some existing processes
- Resulting in higher quality products produced more quickly and efficiently



Effect of To-Be on Records

- **Non-electronic Federal records**
 - most changes in scheduling and processing
- **Electronic Federal records**
 - most changes in system creation, templates, processes incorporated throughout, and processing
- **Non-electronic Presidential records and donated materials**
 - no major changes



Effect of To-Be on NARA

- Changes in how information is collected and shared
- Changes in how and when decisions are made
- Changes in how resource allocations are made
- More flexibility in processes



Model Overview

- 6 activities
 - Manage Information Assets
 - Ensure Good Records Management in the Federal Government
 - Plan, Negotiate and Develop Strategies
 - Determine Disposition
 - Store Essential Evidence
 - Provide Access to Essential Evidence



1: Manage Information Assets

What will change?

- **Includes the creation and maintenance of IT systems as part of records lifecycle, with Records Management involvement**
- **Shows electronic records being scheduled during creation of new IT systems**
- **Shows incorporation of templates into IT systems, and outlines use of templates from the creator's perspective**
- **Shows records management information being incorporated into OMB business case**
- **Emphasizes creator's RM program having intellectual control over records & records requirements**



2: Ensure Good Records Management in the Federal Government What will change?

- **These activities are being incorporated into the records lifecycle model.**
- **Guidance will be more targeted to creator's business needs.**



3: Plan, Negotiate and Develop Strategies What will change?

- **Prioritization of resource allocation will be done consistently as a formal step in the overall process, based on better and more consistent data.**
- **Decision makers will have access to a management data repository containing appropriate metrics data, a matrix of NARA's priorities and risk criteria.**
- **NARA will have a formal process for collecting information about upcoming high-level records issues, analyzing them, and developing action plans to address them.**
- **NARA will be negotiating with agencies to begin processing of records prior to the transfer of legal custody.**



4: Determine Disposition ***What will change?***

- **NARA will be providing new tools to agencies to:**
 - **help them develop schedules,**
 - **identify if records are already covered under existing schedule,**
 - **show them examples of similar schedules, and**
 - **provide a suggested disposition for the records.**
- **NARA will develop and use disposition standards.**
- **NARA and the agencies will be able to easily search and access all approved dispositions using an automated tool.**



4: Determine Disposition ***What will change?***

- **There will be a flexible review process. The strategy for reviewing a proposed schedule will be determined based on established criteria.**
- **Strategy for reviewing schedules for electronic records that have not yet been created may include a plan to re-visit the approved disposition after records have actually been created.**



5: Store Essential Evidence ***What will change?***

- **NARA will develop and integrate into its processes a Lifecycle Data Repository.**
- **NARA will develop and integrate into its processes a Template Repository.**



6: Provide Access to Essential Evidence What will change?

- **NARA will be developing Initial Preservation and Access Plans for records.**
- **An assessment of the need for processing of the records will be developed, reviewed, and a strategy for processing implemented earlier in the records lifecycle.**
- **NARA will develop criteria for amount/type of description/processing for different kinds of records to provide access that best meets the needs of users.**



6: Provide Access to Essential Evidence What will change?

- **NARA will be able to process records prior to the transfer of legal custody based on negotiated agreements with agencies.**
- **The process of requesting an internal disposal will be emphasized.**
- **An Electronic Agency Referral System will be supporting access review.**



Coordination with ERA

- **Models are posted on ERA public website**
- **Alignment of ERA RD and ConOps with To-Be model**
- **Alignment of Enterprise Architecture Conceptual Data Model with To-Be Model and ERA documentation**
- **Creation of unified glossary for Enterprise Architecture, ERA, and BPR**

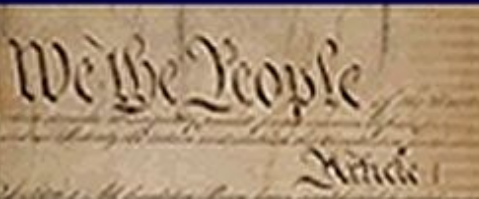


Coordination with ERA

- Coordinating in developing plans for next steps
 - Additional drill-downs
 - Creation of data flows
 - Exploring implications of model
- Change management



- **New versions of the model and more information will be posted on the ERA website.**
- **Questions?**

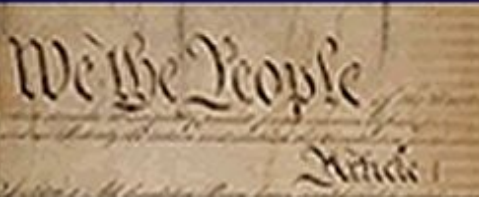


Electronic Records Archives

NARA ***Business Seminar***

Break





Electronic Records Archives

***NARA Tour
(OPTIONAL)***

***Sam Anthony
NWE***

